

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK

ATTORNEY'S DOCKET NUMBER

33035.001

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known,  
see 37 CFR 1.52)  
09/913160

INTERNATIONAL APPLICATION NO.  
PCT/JP00/08741

INTERNATIONAL FILING DATE  
December 11, 2000

PRIORITY DATE CLAIMED  
December 10, 1999

TITLE OF INVENTION  
OPTICAL SEMICONDUCTOR MODULE

APPLICANT(S) FOR DO/EO/US --- Manabu Yoshimura, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))  
a. ☐ is transmitted herewith b. ☒ has been transmitted by the International Bureau (see Form PCT/IB/308) c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2))
7. ☒ Amendments to the claims of the International Application under PCT Article 36  
a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau)  
b. ☐ have been transmitted by the International Bureau.  
c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.  
d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (w/ copy of PTO-1449 and each reference cited therein and Int'l Search Rept)
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

- a) International Search Report (PCT/ISA/210)
- b) Formal Drawing Set (included with international application)
- c) Form PCT/IB/304
- d) Form PCT/IB/308
- e) Cover Page of WO 01/43245

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (UNKNOWN) SEC  
37 CFR 1.5) 09/913160

17. ☒ The following fees are submitted:

CALCULATION PTO USE ONLY

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ..... \$860.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00  
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee  
paid to USPTO (37 CFR 1.445(a)(2)) ..... \$760.00  
Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest  
claimed priority date (37 CFR 1.495(e)).

\$ -

Claims

Number Filed

Number Extra

Rate

Total Claims 11 - 20 =

0

x \$18.00

\$ -

Independent Claims 1 - 3 =

0

x \$80.00

\$ -

Multiple dependent claim(s) (if applicable)

+ \$260.00

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TOTAL OF ABOVE CALCULATIONS =

\$ 860.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed.  
(Note 37 CFR 1.9, 1.27, 1.28).

\$

SUBTOTAL =

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest  
claimed priority date (37 CFR 1.492(f)).

\$ -

TOTAL NATIONAL FEE =

\$ 860.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an  
appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.

\$ .00

TOTAL FEES ENCLOSED =

\$ 860.00

Amount to be  
refunded \$

charged \$

- a. ☒ A check in the amount of \$ 860.00 to cover the above fees is enclosed.  
b. ☐ Please charge my Deposit Account No. 02-4300 in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.  
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required with respect to any deficiency in the above noted "Basic National Fee", or credit any overpayment to Deposit Account No. 02-4300.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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SIGNATURE

Michael A. Makuch, 32,263

NAME REGISTRATION NO.

Date: August 10, 2001

VERIFICATION

The undersigned, of the below address, hereby certifies that he/she well knows both the English and Japanese languages, and that the attached is an accurate English translation of the PCT application filed on December 11, 2000 under

No. PCT/JP00/08741.

The undersigned declares further that all statements made herein of his/her own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed this 6th day of August, 2001.

Signature:

  
Name: Yasuhito SUZUKI

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